

Appl. No. : 09/658,332  
Filed : September 8, 2000

### **.REMARKS**

In response to the Office Action dated September 20, 2004, Applicant respectfully requests the Examiner to reconsider the above-captioned application in view of the foregoing amendments and the following remarks. Claim 6 has been amended and new Claims 10 has been added. Therefore, Claims 6, and 8-10 are pending for examination.

#### Rejections under 35 U.S.C. § 112

Claim 6 was rejected as indefinite. Claim 6 has been amended to recite that the business logic rules define system response to user input. The business rules are defined generally on page 9 of the specification, and are referred to throughout the specification in discussing specific system operations. The wherein clause has been replaced. It is respectfully submitted that Claim 6 as amended satisfies Section 112.

#### Discussion of Rejections Under 35 U.S.C. § 103

Claims 6, 8, and 9 were rejected under 35 U.S.C. § 103 as being unpatentable over Moran (U.S. Patent No. 6,430,542) in view of Barry (U.S. Patent No. 6,615,258).

Claim 6 is directed to a multi-user, database oriented information management system which is coupled to an investment advisor computer network. The limitations of Claim 6 are supported by the Figures 8A-B and 9A-C and the accompanying discussion on pages 11-15 of the application as filed.

The Examiner recognizes in the Office Action that Moran fails to teach the user profiles and transaction manager of Claim 6. However, the Examiner asserts that these items are found in Barry.

One set of problems the invention attempts to resolve are the inefficiencies generated in processing an equity trade. These inefficiencies arise because multiple parties need to have access to the same information and are responsible for performing different parts of the completed trade. A portfolio manager defines a trade, the broker/dealer executes the trade, a custodian bank transfers money to reconcile accounts involved in the trade. Note that several different parties need access to and the ability to manipulate overlapping information. The

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present invention provides a system that uses user profiles, a transaction manager, and business logic rules in a single system to allow all these users to process their respective responsibilities with efficiency and without error. This had never been accomplished before.

Thus, independent Claim 6 has been amended to recite that:

said business logic rules and user profiles are configured such that a portfolio manager system user inputs equity trades for a plurality of investors to the system using an interface defined by a user profile assigned to said portfolio manager system user, and such that a broker/dealer user of the system receives information regarding said equity trades in a format defined by a user profile assigned to said broker/dealer user of the system

This specific feature of the system is taught on page 12, lines 15-26 in the specification as filed.

In contrast, Moran teaches a series of local databases which may contain different information, and which require data transfer from user to user to maintain (see Figure 2 for example). The present invention uses databases, user profiles, and transaction and session managers to avoid this "portage" common in the prior art. Moran provides no teaching or suggestion of any of the techniques of Claim 6 which are implemented in the inventive system of the present application to make a multi-user, simultaneously available database system operate efficiently and without error.

Barry does not cure these deficiencies. In Barry, different users are allowed access to different software application services. There is no suggestion in Barry that different users of a system could be allowed access to "a common set of client transaction information," nor that the user profiles and business logic should or could be configured such that different users can each perform different parts of a single transaction using information available to them through their user profiles and business logic rules.

In view of the foregoing, Applicant respectfully submits that Claim 6 is patentable over the cited references. Accordingly, Applicant respectfully requests prompt allowance of Claim 6.

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As Claims 8-9 are dependent on the above-discussed independent Claim 6, Applicant respectfully submits that this claim is also patentable over the cited references for at least the reasons indicated above, and for their additional features. Accordingly, Applicant respectfully requests prompt allowance of Claims 6 and 8-9.

New Claim 10 recites hardware and software elements for implementing such a system. The Examiner's attention is drawn specifically to the "user profile information which correlates system users with the specific data manipulation logic to client accounts and specific data display format that is presented to the system user" and the "business logic information that defines the specific data manipulation routines and logic that are permitted against an equity transaction through out the life cycle of the transaction as defined by authorized user(s) of the said system."

### **CONCLUSION**

Applicant has endeavored to address all of the Examiner's concerns as expressed in the outstanding Office Action. Accordingly, amendments to the claims, the reasons therefore, and arguments in support of the patentability of the pending claim set are presented above. Any claim amendments which are not specifically discussed in the above remarks are made in order to improve the clarity of claim language, to correct grammatical mistakes or ambiguities, or to otherwise improve the capacity of the claims to particularly and distinctly point out the invention to those of skill in the art.

In light of the above amendments and remarks, reconsideration and withdrawal of the outstanding rejections is specifically requested. If the Examiner finds any remaining impediment to the prompt allowance of these claims that could be clarified with a telephone conference, the Examiner is respectfully requested to initiate the same with the undersigned.

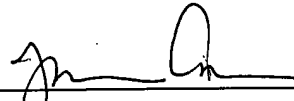
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Please charge any additional fees, including any fees for additional extension of time, or credit overpayment to Deposit Account No. 11-1410.

Respectfully submitted,

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